



**Date: December 22, 2016**

**Addendum #3**

**Notice Inviting Bids for City of Huntington Park**

**Splash Pad Improvements at Salt Lake Park Project**

The following modifications and responses to questions are to be included in the notice inviting bids for Splash Pad Improvements at Salt Lake Park project. This Addendum #3 and all addenda must be executed and returned with the bid submittal. **No further questions will be accepted.**

Pages C.1 to C.6 – C. BIDDER'S PROPOSAL of Addendum #2: **The form is hereby changed to the attached Pages C.1 to C.6 - C. Bidder's Proposal of Addendum #3. All of Section C is included to update the page numbers of Section C per Addendum #3.**

**Questions and Answers**

**Q1** - Item 6 on C.2 indicates that you want multiple activators so that each area of the Splashpad can be controlled separately. Example. The teen area can run a 3.5 minute sequence based on that activator being touched. The Tot area would not run unless the activator in that area is touched by the user. Is that correct? If so the count of activators listed on page C.3 appears to be wrong at only 1 ea.

**R1** - The splash pad will have 2 zones - a "Toddler Zone" and a "Big Kid Zone." Each zone will have its own activator post with a corresponding timer box, electronic controller and manifold. This will allow the zones to be activated independent from each other.

**Q2** - How will multiple zones be accomplished with only 7 lines feeding 17 total features on the Splashpad. Additional lines would add additional control. Certainly some ground sprays can be run together, but more lines will make for a better Splashpad experience and save water.

**R2** - The "Typical Items Lists" for both the Fresh Water system and Recirculating systems are revised (attached in this Addendum #3) and indicate the features and the ground sprays that are within each zone.

**Q3** - Item 6 on C.2 indicates that the controller be remotely activated. I see no provision for that in the items listed on page C.3.

**R3** - Remote activation is not required. The bid item verbiage has been revised. A main activation timer that will control the hours of use for the splash pad is required.

**Q4** - No warranty requirement for the Fiberglass Turtle are listed on page C.3.

**R4** - A minimum warranty requirement of 2-year structural and 2-year paint on fiberglass features is required.

**End Questions and Responses**



## Engineering Division

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**Please sign this Addendum #3 and return as part of your bid submittal.**

Company name: \_\_\_\_\_

Representative name (print): \_\_\_\_\_

Representative signature: \_\_\_\_\_ Date: \_\_\_\_\_

**C. BIDDER'S PROPOSAL**  
**SPLASH PAD IMPROVEMENTS AT SALT LAKE PARK**

<b>Bidder's Name:</b>	
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In accordance with the City of HUNTINGTON PARK's Notice Inviting Sealed Bids, the undersigned BIDDER, hereby proposes to furnish all materials, equipment, tools, labor, and incidentals required for the above stated project as set forth in the Plans, Specifications, and contract documents therefore, and to perform all work in the manner and time prescribed therein.

BIDDER declares that this proposal is based upon careful examination of the work site, Plans, Specifications, Instructions to Bidders, and all other contract documents. If this proposal is accepted for award, BIDDER understands that failure to enter into a contract in the manner and time prescribed will result in forfeiture to the City of HUNTINGTON PARK of the guarantee accompanying this proposal.

BIDDER understands that a bid is required for the entire work. The contract will be awarded on the prices shown on the bid schedule. It is agreed that the unit and/or lump sum prices bid include all appurtenant expenses, taxes, royalties and fees. In the case of discrepancies in the amounts of bid, unit prices shall govern over extended amount, and words shall govern over figures.

If awarded the Contract, the undersigned further agrees that in the event of the BIDDER'S default in executing the required contract and filing the necessary bonds and insurance certificates within ten working days after the date of the City of HUNTINGTON PARK's notice of award of contract to the BIDDER, the proceeds of the security accompanying this bid shall become the property of the City of HUNTINGTON PARK and this bid and the acceptance hereof may, at the City of HUNTINGTON PARK's option, be considered null and void.

**BID SCHEDULE**

To the HUNTINGTON PARK's City Council, herein called the "Council": Pursuant to and in compliance with your Notice Inviting Bids and the other documents relating thereto, the undersigned bidder, having familiarized himself with the work as per the paragraph, Discrepancies and Misunderstandings, contained in the INSTRUCTIONS TO BIDDERS section, and with the terms of the contract, the local conditions affecting the performance of the contract, and the cost of the work at the place where the work is done, and with the drawings and specifications and other contract documents, hereby proposes and agrees to perform, within the time stipulated, the contract, including all of its component parts, and everything required to be performed, and to provide and furnish any and all of the labor, materials, tools, expendable equipment, and all applicable taxes, utility and transportation services necessary to perform the contract and complete in a workmanlike manner, all in strict conformity with the Contract Documents on file at the office of the City Clerk of said City, per the following bid schedule (Bidder shall provide a bid amount for each bid item. Failure to provide a bid for each bid item shall render the bid non-responsive):

<b>BID SCHEDULE</b>					
<b>SPLASH PAD AT SALT LAKE PARK</b>					
<b>ITEM</b>	<b>DESCRIPTION OF WORK</b>	<b>QTY</b>	<b>UNIT</b>	<b>UNIT COST</b>	<b>TOTAL COST</b>
1	TEMPORARY CONSTRUCTION FENCING	1	LS	\$ _____	\$ _____
2	ALL DEMOLITION INCLUDING BUT NOT LIMITED TO REMOVAL AND DISPOSAL OF EXISTING TRELLIS; CONC. WALKS, CONC. POOL, AND EXISTING UTILITIES; REMOVE, PATCH, RELOCATE & REPAIR TURF & IRRIGATION SYSTEMS	1	LS	\$ _____	\$ _____
3	IMPORT, INSTALL & COMPACT CLASS 2 BASE AT POOL AREA; PROCESS & COMPACT SUBGRADE TO 90% DENSITY; FINE GRADE; EXPORT & DISPOSE OF EXCESS SOIL	1	LS	\$ _____	\$ _____
4	INSTALL 6" SEWER LINE 8' TO 10' DEEP; INSTALL SEWER MANHOLE; SAWCUT, TUNNEL UNDER EX. CONC. SIDEWALK; REPAIR EX. SPRINKLER SYS. INCLUDING TIE-IN TO SAN DIST. SEWER LINE COUNTY PERMITTING, PROCESSING, AND FEES ARE INCLUDED IN THIS ITEM	1	LS	\$ _____	\$ _____
5	FURNISH & INSTALL INFILTRATION SYSTEM SIZED TO ACCOMADATE THE SPLASH PAD INSTALLATION	1	LS	\$ _____	\$ _____
6	DESIGN, FURNISH, & INSTALL COMPLETE TURN-KEY LAKE THEMED MULTI-TOUCH SPLASH PAD SYSTEM WITH RAIN DECK OR EQUAL WATER FEATURES (SEE TYPICAL ITEMS LIST) AND APPURTENANT FACILITIES INCLUDING REQUIRED UTILITIES OR EQUAL. ZONE MULTI-TOUCH WATER FEATURES BY AGE GROUP AND MULTI-TOUCH POINTS. ZONE ACTIVATION TIME IS 3.5 MINUTES MAXIMUM. PROVIDE MOCK-UPS OF BROOM FINISH MEDIUM, ROUGH, AND LITE CONCRETE. LAKE SHALL BE BLUE COLORED PCC. PCC SURROUNDING LAKE SHALL BE COLORED PCC (COLOR TBD).	1	LS	\$ _____	\$ _____
7	FURNITURE AND SHADE STRUCTURES (FIXED COST)	1	LS	\$30,000.00	\$30,000.00
8	PROVIDE & INSTALL 8' HIGH, TUBULAR STEEL (WROUGHT IRON TYPE) VANDAL RESISTANT SECURITY FENCE WITH CURVED PRINTED ENDS	350	LF	\$ _____	\$ _____
8	PROVIDE & INSTALL 8' HIGH, TUBULAR STEEL (WROUGHT IRON TYPE) VANDAL RESISTANT SECURITY PEDESTRIAN GATE WITH CURVED PRINTED ENDS	1	EA	\$ _____	\$ _____
8	PROVIDE & INSTALL 8' HIGH, TUBULAR STEEL (WROUGHT IRON TYPE) VANDAL RESISTANT SECURITY VEHICULAR GATE WITH CURVED PRINTED ENDS	1	EA	\$ _____	\$ _____
9	REMOVE DEBRIS; PREPARE SURFACE FOR LANDSCAPING; INSTALL IRRIGATION & SOD AREA AROUND SPLASH PAD AREA. PLANT SHRUBS AGAINST WROUGHT IRON FENCING	1	LS	\$ _____	\$ _____
<b>TOTAL BASE BID AMOUNT IN NUMBERS</b>					<b>\$ _____</b>
<b>TOTAL BASE BID AMOUNT IN WRITING</b> _____					
<b>ADDITIVE ALTERNATE BID ITEMS</b>					
<b>ADD ALT 1</b>	DELETE ITEM 5 AND FURNISH & INSTALL RECIRCULATION SYSTEM (SEE TYPICAL ITEMS LIST)	1	LS	\$ _____	\$ _____

Fresh Water System Typical Items or Equal

<b>Product</b>	<b>Quantity</b>
Rain Deck 3" Universal Housing (RD102-0) (#RD102-0)	8
Rain Deck 3" Adjustable Nozzle (RD103-0) (#RD103-0)	8
Rain Deck 8-Nozzle Sidewinder (RD133-0) (#RD133-0)	2
Rain Deck SS Wavy Water Flower (RDS334-1) w/ SS Footing Base (RDS399-0) (#RDS334-1)	2
Rain Deck SS Frog Loop (RDS343-0) (#RDS343-0)	1
Special Order Item (#SO) <b>Rain Deck: Water Leaf</b>	2
Rain Deck Turtle (Fiberglass) (RDG300-0) (#RDG300-0)	1
Rain Deck SS 40" Water Mushroom (RDS302-0) w/ SS Footing Base (RDS399-0) (#RDS302-0)	1
Rain Deck 8 Zone Multi-Program Electronic Controller (RD500-0) (#RD500-0)	2
16" x 16" Box Drain – 4" or 6" PVC Connection (RD428-0) (#RD428-0)	4
16" x 16" Box Drain Strainer Basket (RD428-1) (#RD428-1)	4
Rain Deck Sof-Touch™ Electronic Timer Box (RD550-1) (#RD550-1)	2
Rain Deck SS Sof-Touch™ Curved Activator w/ SS Footing Base – Post Mounted (RDS550-1) (#RDS550-1)	2
Special Order Item (#SO) <b>Toddler Zone Manifold - : (4) 3/4" Solenoid Valves + (4) 1.5" Solenoid Valves</b>	1
Special Order Item (#SO) <b>Big Kid Zone Manifold - : (4) 3/4" Solenoid Valves + (5) 1.5" Solenoid Valves</b>	1

Recirculation Water System Typical Items or Equal

<b>Product</b>	<b>Quantity</b>
Rain Deck 3" Universal Housing (RD102-0) (#RD102-0)	12
Rain Deck 3" Adjustable Nozzle (RD103-0) (#RD103-0)	12
Rain Deck 8-Nozzle Sidewinder (RD133-0) (#RD133-0)	2
Rain Deck SS Wavy Water Flower (RDS334-1) w/ SS Footing Base (RDS399-0) (#RDS334-1)	1
Rain Deck SS Frog Loop (RDS343-0) (#RDS343-0)	1
Special Order Item (#SO) <b>Rain Deck: Water Leaf</b>	3
Special Order Item (#SO) <b>Rain Deck: Spray Spider</b>	1
Rain Deck SS Water Cannon (RDS348-0) w/ SS Footing Base (RDS399-0) (#RDS348-0)	2
Rain Deck Turtle (Fiberglass) (RDG300-0) (#RDG300-0)	1
Rain Deck SS 40" Water Mushroom (RDS302-0) w/ SS Footing Base (RDS399-0) (#RDS302-0)	1
Rain Deck 8 Zone Multi-Program Electronic Controller (RD500-0) (#RD500-0)	2
16" x 16" Box Drain – 4" or 6" PVC Connection (RD428-0) (#RD428-0)	4
16" x 16" Box Drain Strainer Basket (RD428-1) (#RD428-1)	4
1-1/2" Jandy Check Valve (RD414-0) (#RD414-0)	1
Rain Deck Sof-Touch™ Electronic Timer Box (RD550-1) (#RD550-1)	2
Rain Deck SS Sof-Touch™ Curved Activator w/ SS Footing Base – Post Mounted (RDS550-1) (#RDS550-1)	2
Rain Deck 4000 Gallon Holding Tank – Sediment Capable (F) (RD707-0) (#RD707-0)	1
3 HP Pentair Whisper Flo Pump (RD617-0) (#RD617-0)	1
TR140 Pentair Sand Filter (RD618-0) (#RD618-0)	2
3" Check Valve (RD431-0) (#RD431-0)	1

Product	Quantity
Hayward 3-Way PVC 2-1/2" Diverter Valve (RD430-0) (#RD430-0)	1
Rain Deck 2" Bulk-Head Fitting (RD426-0) (#RD426-0)	2
Rain Deck 3" Bulk-Head Fitting (RD427-0) (#RD427-0)	2
Rain Deck Chemical Controller (RD432-0) (#RD432-0)	1
Stenner 15 Gal Tank w/ 3 GPD Pump – Model: S1G45MJL1A2STAA (Adj. 3 GPD) or S1G45MFL5A2SUAA (Fixed 50 GPD) (RD433-0) (#RD433-0)	2
Special Order Item (#SO) <b>Rain Diverter: Debris Filter</b>	1
Special Order Item (#SO) <b>Pentair Single Speed: 3HP XF Pump - dedicated recirc. pump</b>	2
UV Sanitizer ELP28 HO NSF Certified – 2.5" In & Out (RD436-0) (#RD436-0)	1
Special Order Item (#SO) <b>Custom Toddler Zone Manifold - : (6) 3/4" Solenoid Valves + (4) 1.5" Ball Valves</b>	1
Special Order Item (#SO) <b>Custom Big Kid Zone Manifold - : (8) 1.5" Ball Valves</b>	1

The award of the contract shall be based on the total of the base bid only.	
In the case of discrepancies in the amount of bid, unit prices shall govern over extended amounts, and words shall govern over figures.	
Full compensation for the items listed to the right (Items A, B, & C) are considered as included in each and all bid Items listed in the bid schedule as applicable, and no additional and/or separate compensation will be allowed.	A. Mobilization / Demobilization
	B. Traffic Control, Public Convenience and Safety
	C. SWPPP Implementation, Erosion Control and BMP'S
The bid prices shall include any and all costs, including labor, materials, appurtenant expenses, taxes, royalties and any and all other incidental costs to complete the project, in compliance with the Bid and Contract Documents and all applicable codes and standards.	
All other work items not specifically listed in the bid schedule, but necessary to complete the work per bid and contract documents and all applicable codes and standards are assumed to be included in the bid prices.	
The City reserves the right to add, delete, increase or decrease the amount of any quantity shown and to delete any item from the contract and pay the contractor at the bid unit prices so long as the total amount of change does not exceed 25% (plus or minus) of the total bid amount for the entire project. If the change exceeds 25%, a change order may be negotiated to adjust unit bid prices.	
A bid is required for the entire work, that the quantities set forth in the Bid Schedule are to calculate total bid amount, and that final compensation under the contract will be based upon the actual quantities of work satisfactorily completed.	
USA products are preferred due to maintenance and availability.	
<b>Specify Warranty on Labor and Materials.</b> <b>Minimum Warranty Requirements:</b> <ul style="list-style-type: none"> <li>• 25-year warranty on all commercial stainless steel above ground feature pipes and welds.</li> <li>• 25-year warranty on all stainless steel footing base tubing and welds.</li> <li>• 2-year warranty against peeling or fading on all finish coatings.</li> <li>• LIFETIME WARRANTY on all UHMW, PVC or Delrin spray jet housings and nozzles.</li> <li>• 5-year warranty on all brass, stainless steel and aluminum housings and nozzles.</li> <li>• 5-year warranty on all tanks and cisterns.</li> <li>• 2-year warranty on commercial pumps, filters, electronic controllers, solenoids, timer boxes, activators/sensors.</li> <li>• 2-year warranty on all commercial sanitation equipment.</li> <li>• 2-year structural warranty and 2-year paint warranty on all fiberglass features.</li> </ul>	



**DESIGNATION OF SUBCONTRACTORS**

BIDDER proposes to subcontract certain portions of the work which are in excess of one-half of one percent of the bid and to procure services, materials and equipment from subcontractors, suppliers and vendors as follows:

Subcontractor Name	Work to be Performed	Contractor's License #	DIR #	Dollar Amount
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
				\$_____
<b>TOTALS</b>				\$_____

## REFERENCES

The City of HUNTINGTON PARK is interested in obtaining bids from the most qualified and capable contractors with a proven track record able to perform work desired by the Public Works Department. Any and all references required to be provided by the bid specifications must be for projects constructed by the bidding company; references for other projects performed by principals or other individuals of the bidding company may not be included.

The following are the names, addresses, and telephone numbers for three public agencies for which BIDDER has performed similar work within the past three years.

<u>Reference Contact Information</u>	<u>Reference Project Name</u>	<u>Contract Value</u>	<u>Date Completed</u>
Agency Name:		\$ _____	
Contact Name and Title:			
Contact Tel No:			
Agency Name:		\$ _____	
Contact Name and Title:			
Contact Tel No:			
Agency Name:		\$ _____	
Contact Name and Title:			
Contact Tel No:			

## BONDS

The following are the names, addresses, and telephone numbers for all brokers and sureties from whom Bidder intends to procure insurance bonds:

\_\_\_\_\_

## SITE INSPECTION

The Bidder declares that he/she has carefully read and examined the plans, specifications, bid documents, and he/she has made a personal examination of the site (indicate name of the person, representing the bidder, who inspected the site and date below) and that he/she understands the exact scope of the Project WITHOUT QUESTION.

Name of Person who inspected the site: \_\_\_\_\_

Date of Inspection: \_\_\_\_\_

### **ADDENDA ACKNOWLEDGMENT**

The Bidder acknowledges receipt of the following Addenda and has included their provisions in this Proposal:

Addendum No. _____	Dated _____
Addendum No. _____	Dated _____
Addendum No. _____	Dated _____
Addendum No. _____	Dated _____
Addendum No. _____	Dated _____

### **EQUAL EMPLOYMENT OPPORTUNITY COMPLIANCE**

BIDDER certifies that all previous contracts or subcontracts, all reports which may have been due under the requirements of any Agency, Site, or Federal equal employment opportunity orders have been satisfactorily filed, and that no such reports are currently outstanding.

### **AFFIRMATIVE ACTION CERTIFICATION**

BIDDER certifies that affirmative action has been taken to seek out and consider minority business enterprises for those portions of work to be subcontracted, and that such affirmative actions have been fully documented, that said documentation is open to inspection, and that said affirmative action will remain in effect for the life of any contract awarded hereunder. Furthermore, BIDDER certifies that affirmative action will be taken to meet all equal employment opportunity requirements of the contract documents.

### **NONCOLLUSION DECLARATION**

NONCOLLUSION DECLARATION TO BE EXECUTED  
BY BIDDER AND SUBMITTED WITH BID FOR

\_\_\_\_\_  
(Project Name)

The undersigned declares:

I am the \_\_\_\_ of \_\_\_\_, the party making the foregoing bid. The bid is not made in the interest of, or on behalf of, any undisclosed person, partnership, company, association, organization, or corporation. The bid is genuine and not collusive or sham. The bidder has not directly or indirectly induced or solicited any other bidder to put in a false or sham bid. The bidder has not directly or indirectly colluded, conspired, connived, or agreed with any bidder or anyone else to put in a sham bid, or to refrain from bidding. The bidder has not in any manner, directly or indirectly, sought by agreement, communication, or conference with anyone to fix the bid price of the bidder or any other bidder, or to fix any overhead, profit, or cost element of the bid price, or of that of any other bidder. All statements contained in the bid are true. The bidder has not, directly or indirectly, submitted his or her bid price or any breakdown thereof, or the contents thereof, or divulged information or data relative thereto, to any corporation, partnership, company, association, organization, bid depository, or to any member or agent thereof, to effectuate a

collusive or sham bid, and has not paid, and will not pay, any person or entity for such purpose. Any person executing this declaration on behalf of a bidder that is a corporation, partnership, joint venture, limited liability company, limited liability partnership, or any other entity, hereby represents that he or she has full power to execute, and does execute, this declaration on behalf of the bidder.

I declare under penalty of perjury under the laws of the State of California that the foregoing is true and correct and that this declaration is executed on \_\_\_\_\_[date], at \_\_\_\_\_[city], \_\_\_\_\_[state]."

\_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Printed name)

**BIDDER INFORMATION**

Bidder's Name:			
Address:			
Form of Legal Entity (i.e., individual, partnership, corporation, etc.)			
If a Corporation, State of Incorporation (i.e., Calif.)			
Valid State Contractor's License No. and Class			
DIR Registration No.: (Also provide DIR No's for subcontractors as separate attachment)			
<i>Contact Person Information:</i>			
<i>Name</i>	<i>Title</i>	<i>E-mail</i>	<i>Tel</i>

The following are the names, titles, addresses, and phone numbers of all individuals, firm members, partners, joint venturers, and/or corporate officers having a principal interest in this proposal:

\_\_\_\_\_

\_\_\_\_\_

The date(s) of any voluntary or involuntary bankruptcy judgements against any principal having an interest in this proposal are as follows:

\_\_\_\_\_

\_\_\_\_\_

All current and prior DBA'S, alias, and/or fictitious business names for any principal having an interest in this proposal are as follows:

Previous contract performance history:

1. Was any contract terminated previously: \_\_\_\_\_

*If the answer to the above is "yes", provide the following information:*

Contract/project name and number: \_\_\_\_\_

Date of termination: \_\_\_\_\_

Reason for termination: \_\_\_\_\_

Owner's name: \_\_\_\_\_

Owner contact person and tel. no.: \_\_\_\_\_

2. In the past ten years have you filed a claim for money against any public entity?

*If the answer to the above is "yes", provide the following information:*

Contract/project name and number: \_\_\_\_\_

Date of filing claim: \_\_\_\_\_

Reason for filing claim: \_\_\_\_\_

Owner's name: \_\_\_\_\_

Owner contact person and tel. no.: \_\_\_\_\_

3. In the past ten years have you been a party to legal action by or against a public entity arising out of the performance of a public works contract?

*If the answer to the above is "yes", provide the following information:*

Contract/project name and number: \_\_\_\_\_

Date of commencement of litigation: \_\_\_\_\_

Reason for litigation: \_\_\_\_\_

Owner's name: \_\_\_\_\_

Owner contact person and tel. no.: \_\_\_\_\_

IN WITNESS WHEREOF, BIDDER executes and submits this proposal with the names, titles, hands, and seals of all aforementioned principals this \_\_\_\_ day of \_\_\_\_\_, 201\_.

BIDDER \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Subscribed and sworn to this \_\_\_\_ day of \_\_\_\_\_, 201\_.

NOTARY PUBLIC \_\_\_\_\_

**PROPOSAL GUARANTEE/BID BOND**

KNOW ALL MEN BY THESE PRESENTS:

WHEREAS, \_\_\_\_\_, (hereinafter referred to as "Contractor") intends to submit a bid to the City of \_\_\_\_\_, California, a Municipal Corporation, for the performance of certain work as required in the City of \_\_\_\_\_ Project Name. \_\_\_\_\_ (the "Project") said work being: \_\_\_\_\_ as shown on the plans and specifications for the Project. The bid is being made in response to an invitation of said City contained in a notice or advertisement for bids or proposals.

NOW, THEREFORE, we, the Contractor, as Principal, and \_\_\_\_\_ a corporation organized and existing under the laws of the State of \_\_\_\_\_, duly authorized and licensed to transact business under the laws of the State of California as Surety, are held and firmly bound unto the City of \_\_\_\_\_, as Oblige, in the sum of \_\_\_\_\_ Dollars (\$\_\_\_\_\_) lawful money of the United States of America, said sum being not less than ten percent (10%) of the bid amount for the payment of which sum well and truly to be made, the said Principal, and said Surety, bind ourselves, our heirs, executors, administrators, successors and assigns, jointly and severally, firmly by these presents.

The address at which the Surety may be served with notices, papers and other documents is:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

The address at which the Principal may be served with notices, papers and other documents is:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

THE CONDITION OF THIS OBLIGATION IS SUCH THAT: If the bid of the said Principal is rejected by the said Oblige; or if the said Oblige shall accept the bid of the said Principal and said Principal shall enter into an Agreement with said Oblige in accordance with the terms of the bid, and shall give such bond or bonds as may be specified in the bidding or Contract Documents with good and sufficient surety for the faithful performance of such Agreement, for the warranty of the work and for the prompt payment of labor and material furnished in the prosecution thereof; or in the event of the failure of said Principal to enter such Agreement and give such bond or bonds, if said Principal shall pay to said Oblige the difference not to exceed the penalty thereof between the amount specified in said bid and such larger amount for which said Oblige may in good faith contract with another party to perform the work covered by said bid, then this obligation shall be null and void, otherwise to remain in full force and effect. In case suit is brought upon this bond, the court shall fix and award and the surety shall pay, in addition to the face amount hereof, costs and reasonable attorney's fees incurred by the City of \_\_\_\_\_ in successfully enforcing said obligation.

This document is signed by the respective parties on the dates next to their names.

Principal

By: \_\_\_\_\_

Date: \_\_\_\_\_

Title: \_\_\_\_\_

Surety

By: \_\_\_\_\_

Date: \_\_\_\_\_

Title: \_\_\_\_\_

I declare under penalty of perjury under the laws of the State of California that the contents of the above Bid Bond are true and correct, and that I have been duly authorized to sign this Bid Bond on behalf of Surety. This Declaration is signed on \_\_\_\_\_, in the City of \_\_\_\_\_, State of California.

Surety: \_\_\_\_\_

By: \_\_\_\_\_

--OR--

A notary public or other officer completing this certificate verifies only the identity of the individual who signed the document to which this certificate is attached, and not the truthfulness, accuracy, or validity of that document

State of California )

)

County of \_\_\_\_\_ )

On \_\_\_\_\_ before me, \_\_\_\_\_ (here insert name and title of the officer), personally appeared

\_\_\_\_\_,  
who proved to me on the basis of satisfactory evidence to be the person(s) whose name(s) is/are subscribed to the within instrument and acknowledged to me that he/she/they executed the same in his/her/their authorized capacity(ies), and that by his/her/their signature(s) on the instrument the person(s), or the entity upon behalf of which the person(s) acted, executed the instrument.

I certify under PENALTY OF PERJURY under the laws of the State of California that the foregoing paragraph is true and correct.

WITNESS my hand and official seal.

Signature \_\_\_\_\_ (Seal)

-- AND --

(Proof of signature authorization or power of attorney must be attached)

**THE FOLLOWING FORMS ARE REQUIRED TO BE COMPLETED AND SUBMITTED WITH THE BID:**

- 1. NON-SEGREGATED FACILITIES CERTIFICATION**
- 2. PAST PERFORMANCE CERTIFICATION**
- 3. COUNTY LOBBYIST CERTIFICATION**
- 4. WORKER'S COMPENSATION CERTIFICATION**
- 5. CONTRACTOR'S LIST OF PROPOSED SUBCONTRACTORS**
- 6. REQUEST FOR ADDITIONAL CLASSIFICATION AND RATE**
- 7. NOTICE OF EQUAL EMPLOYMENT OPPORTUNITY COMMITMENT**
- 8. NOTICE OF SECTION 3 COMMITMENT**
- 9. SECTION 3 ECONOMIC OPPORTUNITY PLAN**
- 10. SECTION 3 RESIDENT CERTIFICATION**
- 11. SECTION 3 BUSINESS CERTIFICATION**
- 12. SECTION 3 SUMMARY REPORT**
- 13. FEDERAL LOBBYIST CERTIFICATION**



1. NON-SEGREGATED FACILITIES CERTIFICATION

**NON-SEGREGATED FACILITIES CERTIFICATION**  
**FEDERALLY-ASSISTED CONSTRUCTION PROJECTS**

The federally-assisted construction contractor certifies that he/she DOES NOT and WILL NOT:

1. Maintain or provide, for his/her employees, any segregated facilities at any of his/her establishments.
2. Permit his/her employees to perform their services at any location, under his/her control, where segregated facilities are maintained.

The federally-assisted contractor agrees that a breach of this certification is a violation of the Equal Opportunity Clause in this contract. As used in this certification, the term segregated facilities means any waiting room, work areas, restrooms and washrooms, restaurants and other eating areas, time clocks, locker rooms and other storage or dressing areas, parking lots, drinking fountains, recreation or entertainment areas, transportation, and housing facilities provided for employees which are segregated by explicit directive or are in fact segregated on the basis of race, creed, color, or national origin, because of habit, local custom, or otherwise.

The federally-assisted contractor agrees that (except where he/she has obtained identical certifications from proposed subcontractors for specific time periods) he/she will obtain identical certifications from proposed subcontractors prior to the award of subcontracts exceeding \$10,000 which are not exempt from the provisions of the Equal Opportunity Clause, and that he/she will retain such certifications in his/her files.

**NOTE:** The penalty for making false statements in offers is prescribed in 18 U.S.C. 1001.

Date: \_\_\_\_\_ Project Number: \_\_\_\_\_

Company: \_\_\_\_\_

Address: \_\_\_\_\_

By: \_\_\_\_\_

Title: \_\_\_\_\_

## 2. PAST PERFORMANCE CERTIFICATION

### CERTIFICATION WITH REGARD TO THE PERFORMANCE OF PREVIOUS CONTRACTS OR SUBCONTRACTS SUBJECT TO THE EQUAL OPPORTUNITY CLAUSE AND THE FILING OF REQUIRED REPORTS

The ☐bidder, ☐proposed sub-contractor, hereby certifies that he/she ☐has, ☐has not, participated in a previous contract or subcontract subject to the Equal Opportunity Clause, as required by Executive Orders 10925, 11114, or 11246, and that he/she ☐has, ☐has not, filed with the Joint Reporting Committee, the Director of the Office of Federal Contract Compliance, a Federal Government contracting or administering agency, or the former President's Committee on Equal Employment Opportunity, all reports due under the applicable filing requirements.

Date: \_\_\_\_\_ Project Number: \_\_\_\_\_ Contract Award: \$ \_\_\_\_\_

Awarding Agency: \_\_\_\_\_

Contractor Name: \_\_\_\_\_ Total Number of Employees \_\_\_\_\_

Affiliate Company: \_\_\_\_\_

By: \_\_\_\_\_

Title: \_\_\_\_\_

**NOTE:** The above certification is required by the Equal Employment Opportunity Regulations of the Secretary of Labor (41 CFR 60-1.7(b)(1)), and must be submitted by bidders and proposed subcontractors only in connection with contracts and subcontracts which are subject to the equal opportunity clause. Contracts and subcontracts which are exempt from the equal opportunity clause are set forth in 41 CFR 60-1.5 (Generally only contracts or subcontracts of \$10,000 or under are exempt).

Proposed prime contractors and subcontractors who have participated in a previous contract or subcontract subject to the Executive Orders and have not filed the required reports should note that 41 CFR 60-1.7(b)(1) prevents the award of contracts and subcontracts unless such contractor submits a report covering the delinquent period or such other period specified by the U.S. Department of the Interior or by the Director, Office of Federal Contract Compliance, U.S. Department of Labor.

SF-100 (EEO-1) must be filed by:

(A) All private employers who are:

- (1) Subject to Title VII of the Civil Rights Act of 1964 (as amended) with 100 or more employees.
- (2) Subject to Title VII who has fewer than 100 employees, if the company is owned or affiliated with another company, or there is centralized ownership, control or management so that the group legally constitutes a single enterprise, and the entire enterprise employs a total of 100 or more employees.

(B) All federal contractors (private employers), who:

- (1) Are not exempt as provided for by 41 CFR 60-1.5
- (2) Have 50 or more employees, and
  - a. Are prime contractors or first-tier subcontractors, and have a contract, subcontract, or purchase order amounting to \$50,000 or more; or
  - b. Serve as a depository of Government funds in any amount, or
  - c. Is a financial institution, which is an issuing, and paying agent for U.S. Savings Bonds and Notes.

**3. COUNTY LOBBYIST CERTIFICATION**

**County Lobbyist Certification**

Name of Firm: \_\_\_\_\_ Date: \_\_\_\_\_

Address: \_\_\_\_\_

Telephone: (\_\_\_\_) \_\_\_\_\_

Acting on behalf of the above named firm, as its Authorized Official, I make the following certification to the County of Los Angeles, to the Community Development Commission, County of Los Angeles, and to the City of \_\_\_\_\_, as the local contracting agency (LCA);

- 1) It is understood that each person, entity, or firm who applies for a Community Development Commission contract, and as part of that process, shall certify that they are familiar with the requirements of the Los Angeles County Code, Chapter 2.160 (Los Angeles County Ordinance 93-0031) and;
- 2) That all persons/entities/firms acting on behalf of the above named firm have and will comply with the County Code, and;
- 3) That any person, entity, or firm who seeks a contract with the Community Development Commission shall be disqualified therefrom and denied the contract and, shall be liable in civil action, if any lobbyist, lobbying firm, lobbyist employer or any other person or entity acting on behalf of the named firm fails to comply with the provisions of the County Code.

This certification is material representation of facts upon which reliance was placed when this transaction was made or entered into.

Authorized Official:

\_\_\_\_\_  
(Print Name of Contractor's Authorized Representative)

\_\_\_\_\_  
(Signature of Contractor's Authorized Representative)

\_\_\_\_\_  
(Title)

\_\_\_\_\_  
(Date)

4. WORKER'S COMPENSATION CERTIFICATION

**WORKER'S COMPENSATION CERTIFICATION**

I certify, by signature below, that I am aware of the provisions of Section 3700 of the California Labor Code which require every employer to be insured against liability for worker's compensation or to undertake self-insurance in accordance with the provisions of that code, and I will comply with such provisions before commencing the performance of the work of this contract.

Date: \_\_\_\_\_ Project Number: \_\_\_\_\_

Project Name: \_\_\_\_\_

Company Name: \_\_\_\_\_

Address: \_\_\_\_\_

Print Name: \_\_\_\_\_

Title: \_\_\_\_\_

Signature: \_\_\_\_\_

5. CONTRACTOR'S LIST OF PROPOSED SUBCONTRACTORS

CONTRACTOR LIST OF PROPOSED SUBCONTRACTORS

PROJECT NAME \_\_\_\_\_

Location: \_\_\_\_\_

AWARDING AGENCY \_\_\_\_\_

Project Number: \_\_\_\_\_

SUBCONTRACTORS: Name, Address, and Telephone Number	Employer Identification Number	Contractor License Number	Contract Amount	Estimated Start Date	Estimated Completion Date	TRADES TO BE USED

Signature \_\_\_\_\_

Date \_\_\_\_\_

Name and Title \_\_\_\_\_

Company Name \_\_\_\_\_



**6. REQUEST FOR ADDITIONAL CLASSIFICATION AND RATE**

<b>U.S. DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT</b> <b>REPORT OF ADDITIONAL CLASSIFICATION AND RATE</b>		<b>HUD FORM 4230A</b> <small>OMB Approval Number 2501-0011 (Exp. 09/30/2008)</small>							
1. FROM (name and address of requesting agency)		2. PROJECT NAME AND NUMBER							
4. BRIEF DESCRIPTION OF PROJECT		3. LOCATION OF PROJECT (City, County and State)  5. CHARACTER OF CONSTRUCTION <input type="checkbox"/> Building <input type="checkbox"/> Residential <input type="checkbox"/> Heavy <input type="checkbox"/> Other (specify) <input type="checkbox"/> Highway							
6. WAGE DECISION NO. (include modification number, if any)  <input type="checkbox"/> COPY ATTACHED		7. WAGE DECISION EFFECTIVE DATE							
8. WORK CLASSIFICATION(S)		<table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <th colspan="2" style="text-align: center; padding: 5px;">HOURLY WAGE RATES</th> </tr> <tr> <th style="width: 50%; text-align: center; padding: 5px;">BASIC WAGE</th> <th style="width: 50%; text-align: center; padding: 5px;">FRINGE BENEFIT(S) (if any)</th> </tr> <tr> <td style="height: 100px;"></td> <td style="height: 100px;"></td> </tr> </table>		HOURLY WAGE RATES		BASIC WAGE	FRINGE BENEFIT(S) (if any)		
HOURLY WAGE RATES									
BASIC WAGE	FRINGE BENEFIT(S) (if any)								
9. PRIME CONTRACTOR (name, address)		10. SUBCONTRACTOR/EMPLOYER, IF APPLICABLE (name, address)							
<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <b>Check All That Apply:</b> </div> <div style="margin-bottom: 10px;"> <input type="checkbox"/> The work to be performed by the additional classification(s) is not performed by a classification in the applicable wage decision.                     </div> <div> <input type="checkbox"/> The proposed classification is utilized in the area by the construction industry.                     </div> <div> <input type="checkbox"/> The proposed wage rate(s), including any bona fide fringe benefits, bears a reasonable relationship to the wage rates contained in the wage decision.                     </div> <div> <input type="checkbox"/> The interested parties, including the employees or their authorized representatives, agree on the classification(s) and wage rate(s).                     </div> <div> <input type="checkbox"/> Supporting documentation attached, including applicable wage decision.                     </div>									
<div style="border: 1px solid black; padding: 5px; margin-bottom: 10px;"> <b>Check One:</b> </div> <div style="margin-bottom: 10px;"> <input type="checkbox"/> Approved, meets all criteria. DOL confirmation requested.                     </div> <div> <input type="checkbox"/> One or more classifications fail to meet all criteria as explained in agency referral. DOL decision requested.                     </div>									
<div style="border-top: 1px solid black; margin-top: 80px;"> <b>Agency Representative</b>  <small>(Typed name and signature)</small> </div>		<div style="border-top: 1px solid black; margin-top: 80px;"> <b>FOR HUD USE ONLY</b>  <b>LR2000:</b>   <b>Log in:</b>   <b>Log out:</b> </div>							
<div style="border-top: 1px solid black; margin-top: 30px;"> <b>Phone Number</b> </div>									

HUD-4230A (8-03) PREVIOUS EDITION IS OBSOLETE

7. NOTICE OF EQUAL EMPLOYMENT OPPORTUNITY COMMITMENT

**EQUAL EMPLOYMENT OPPORTUNITY COMMITMENT**

TO: \_\_\_\_\_  
(Name of Labor Union, Workers Representative, etc.)  
\_\_\_\_\_  
(Address)

Name of Business (Contractor): \_\_\_\_\_  
Project Name: \_\_\_\_\_ Project Number: \_\_\_\_\_

The Undersigned currently holds a contract with \_\_\_\_\_, involving funds of the U. S. Government, or a subcontract with a prime contractor holding such contract.

You are advised that under the provisions of the above contract or subcontract, and in accordance with Executive Order 11246, the undersigned is obligated not to discriminate against any employee or applicant for employment because of race, color, religion, sex or national origin. This obligation not to discriminate in employment includes, but is not limited to the follow:

1. Hiring, placement, upgrading, transfer or demotion;
2. Recruitment, advertising or solicitation for employment;
3. Treatment during employment;
4. Rates of pay or other forms of compensation;
5. Selection for training, including apprenticeship; and
6. Layoff or termination.

This notice is furnished to you pursuant to the provisions of the above contract or subcontract and Executive Order 11246. Copies of this notice will be posted by the undersigned in conspicuous places available to employees or applicants for employment.

\_\_\_\_\_  
(Print Name)  
  
\_\_\_\_\_  
(Date)

By: \_\_\_\_\_  
(Signature)  
  
\_\_\_\_\_  
(Title)

8. NOTICE OF SECTION 3 COMMITMENT

**NOTICE OF SECTION 3 COMMITMENT**

TO: \_\_\_\_\_  
(Name of Labor Union, Workers Representative, etc.)  
 \_\_\_\_\_  
(Address)

Name of Business (Contractor): \_\_\_\_\_

Project Name: \_\_\_\_\_ Project Number: \_\_\_\_\_

The Undersigned currently holds a contract with \_\_\_\_\_ involving Block Grant (CDBG) funds from the U. S. Department of Housing and Urban Development or a subcontract with a prime contractor holding such contract.

You are advised that under the provisions of the above contract or subcontract and in accordance with Section 3 of the Housing and Urban Development Act of 1968, the undersigned is obligated to the greatest extent feasible, to give opportunities for employment and training to lower income residence of the CDBG-assisted project area and to award contracts for work on the project to business concerns which are located in or are owned in substantial part by project area residence.

Regarding employment opportunities for Section 3, the minimum number and job titles are:

Minimum Number	Job Classification

Regarding job referrals, request that consideration be given, to the greatest extent feasible, to assignment of persons residing in the service area or neighborhood in which the project is located.

The anticipated date the work will begin is \_\_\_\_\_. For additional information, you may contact \_\_\_\_\_, \_\_\_\_\_ at (\_\_\_\_\_) \_\_\_\_\_.

Contact Person's Name

Title

This notice is furnished to you pursuant to the provisions of the above contract or subcontract and Section 3 of the Housing and Urban Development Act of 1968. Copies of this notice will be posted by the undersigned in conspicuous places available to employees or applicants for employment.

\_\_\_\_\_  
(Print Name) By: \_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date) \_\_\_\_\_  
(Title)



**9. SECTION 3 ECONOMIC OPPORTUNITY PLAN**

**SECTION 3 ECONOMIC OPPORTUNITY PLAN**

1. Name and Address of Reporting Entity (Recipient, Sub-recipient, Contractor, Subcontractor)	2. Federal Identification: (Contract/Award No.)	3. Dollar Amount of Award:
	4. Contact Person:	5. Phone: (include Area Code)
	6. Reporting Period:	7. Date Report Submitted
8. Program Code: (Use a separate sheet for each Program Code)		
<b>Program Codes</b> 1. Flexible Subsidy    2. Section 202/811    3. Public/Indian Housing Development, Operation and Modernization    4. Homeless Assistance    5. HOME 6. HOME - State Administered    7. CDBG - Entitlement    8. CDBG - State Administered    9. Other CD Programs    10. Other Housing Programs		

**Part I: Employment and Training Commitment**

JOB CLASSIFICATION	TOTAL NEW HIRES	SECTION 3 NEW HIRES	% of Aggregate Hires Who are Section 3 Residents
Professionals			%
Technicians			%
Office/Clerical			%
Trade:			%
Trade:			%
Trade:			%
Trade:			%
Total:			%

**Part II: Contract Award Commitment to Section 3 Businesses** (Subcontractors, Suppliers, Vendors, or Service Providers)

NAME OF SECTION 3 BUSINESS CONCERN	SPECIFY CONSTRUCTION OR NONCONSTRUCTION CONTRACT	CONTRACT AMOUNT
		\$
		\$
		\$
		\$
		\$
		\$
		\$
<b>TOTAL</b>		<b>\$</b>
<b>Percentage of the total dollar amount to be awarded to Section 3 Business Concerns:</b>		<b>%</b>

## 9. SECTION 3 ECONOMIC OPPORTUNITY PLAN (continues)

*A Section 3 responsive bidder who commits to hire Section 3 Residents by directing employment and training opportunities toward low- and very low-income persons, particularly those who are recipients of government assistance for housing, may use any combination of outreach efforts to meet the Section 3 commitment made when a Section 3 Economic Opportunity Plan has been submitted.*

**REMEMBER:** All employees of a business/firm count toward meeting your Section 3 compliance goals—Section 3 New Hires do not have to be construction workers, they just have to be a part of your permanent, full-time staff.

### **SAMPLE OUTREACH EFFORTS FOR CONTRACTORS SEEKING SECTION 3 RESIDENT EMPLOYEES**

- Enter into "first-source" hiring agreements with organizations representing Section 3 residents, such as *Work Source* or a local Workforce Investment Board. For more information, visit <http://www.calwia.org/lwia/index.cfm>
- Sponsor a HUD-certified "Step-Up" employment and training program for Section 3 residents.
- Advertise training and employment positions by distributing flyers (Notice of Section 3 Commitment or other flyer that identifies the positions to be filled, the qualifications required, and where to obtain additional information about the application process) to every occupied dwelling unit in the housing development(s) adjacent to the project site.
- Post training and employment position flyers in public housing developments, offices of the local government, and other conspicuous places.
- Contact State-approved apprenticeship programs to gain access to potentially low-income residents who are actively seeking job-placement and training. For more information on local apprenticeship programs, you can visit the California Department of Industrial Relations' database of local apprenticeship programs by visiting <http://www.dir.ca.gov/databases/das/aigstart.asp>
- Contact agencies administering HUD Youthbuild programs, and requesting their assistance to recruit current HUD Youthbuild program participants who are in need of permanent placement
- Advertise any positions to be filled through the local media, such as community television networks, newspapers of general circulation, or commonly-used job placement websites such as [www.monster.com](http://www.monster.com)

**10. SECTION 3 RESIDENT CERTIFICATION**

**SECTION 3 RESIDENT CERTIFICATION**  
(2015 INCOME GUIDELINES)

Name: \_\_\_\_\_

Address: \_\_\_\_\_

**I hereby certify that I am a Section 3 resident; based on the following qualification(s):**

1. ☐ I am a Public Housing Resident (Specify Name of the Public Housing site):

\_\_\_\_\_

2. ☐ I am a low-income resident of the metropolitan area of Los Angeles/Orange County, based on the following:

Select your **Family Size** and gross annual **Income Limits** (from all sources):

<b>FAMILY SIZE</b>	<b>INCOME LIMITS</b>			
1	<input type="checkbox"/> \$17,150 or Less	<input type="checkbox"/> \$17,151 to \$29,049	<input type="checkbox"/> \$29,050 to \$46,499	<input type="checkbox"/> \$46,500 or More
2	<input type="checkbox"/> \$19,950 or Less	<input type="checkbox"/> \$19,950 to \$32,199	<input type="checkbox"/> \$32,200 to \$53,149	<input type="checkbox"/> \$53,150 or More
3	<input type="checkbox"/> \$22,450 or Less	<input type="checkbox"/> \$22,450 to \$37,349	<input type="checkbox"/> \$37,350 to \$59,799	<input type="checkbox"/> \$59,800 or More
4	<input type="checkbox"/> \$24,900 or Less	<input type="checkbox"/> \$24,900 to \$40,499	<input type="checkbox"/> \$41,500 to \$66,399	<input type="checkbox"/> \$66,400 or More
5	<input type="checkbox"/> \$28,410 or Less	<input type="checkbox"/> \$28,410 to \$44,849	<input type="checkbox"/> \$44,850 to \$71,749	<input type="checkbox"/> \$71,750 or More
6	<input type="checkbox"/> \$32,570 or Less	<input type="checkbox"/> \$32,570 to \$48,149	<input type="checkbox"/> \$48,150 to \$77,049	<input type="checkbox"/> \$77,050 or More
7	<input type="checkbox"/> \$36,730 or Less	<input type="checkbox"/> \$36,730 to \$50,499	<input type="checkbox"/> \$50,500 to \$82,349	<input type="checkbox"/> \$82,350 or More
8	<input type="checkbox"/> \$40,890 or Less	<input type="checkbox"/> \$40,890 to \$54,799	<input type="checkbox"/> \$54,800 to \$87,649	<input type="checkbox"/> \$87,650 or More

3. ☐ I am not a public Housing or low-income resident of the metropolitan area of Los Angeles/Orange County.

Under penalty of perjury, I certify that the above information is true and correct:

\_\_\_\_\_  
Employee Signature Date

To Be Completed by Employer

The above-named person is; ☐ a permanent full-time ☐ new-hire employee, who was hired on: \_\_\_\_\_

This person's job Classification is: \_\_\_\_\_

\_\_\_\_\_  
Business Name Print Name of Owner/Agent Signature of Owner/Agent Date

To Be Completed By Local Contracting Agency (LCA)

**Preference Category:** ☐ Targeted Service Area ☐ Youthbuild ☐ McKinney Homeless ☐ Other Section 3

**Census tract Number:** \_\_\_\_\_ **Income Level:** ☐ Extremely Low ☐ Very low ☐ Low ☐ Moderate

\_\_\_\_\_  
Print Name of Section 3 Coordinator Signature Date

11. SECTION 3 BUSINESS CERTIFICATION

**SECTION 3 BUSINESS CERTIFICATION FORM**

Business Name: \_\_\_\_\_

Business Address: \_\_\_\_\_

\_\_\_\_\_

Telephone Number: \_\_\_\_\_ Contract/Bid Amount: \$\_\_\_\_\_

1. The above mentioned business firm is a Section 3 business concern based on the following qualifications:

- ☐ **51-percent owned by Section 3 Residents**  
(Submit Resident Certifications with this business certification form)
- ☐ **At least 30-percent Permanent, full-time employees are Section 3 Residents**  
Total Number of all full-time employees \_\_\_\_\_, Number of Section 3 qualified Employees \_\_\_\_\_  
(Submit the Resident Certification form(s) with this Business Certification form)

2. The above mentioned business firm is not a Section 3 business concern, but commits to the Section 3 goal:

- ☐ **Written Commitment** (Section 3 Economic Opportunity Plan), outline intentions to:  
Hire Section 3 qualified residents at least 30-percent aggregate new hire positions, and/or  
Subcontract 25-percent or more of the contract amount to Section 3 qualified business concerns.

**THE UNDERSIGNED DECLARES THAT THE ABOVE INFORMATION IS COMPLETE AND CORRECT**

\_\_\_\_\_  
**Signature of Owner/Principal**

\_\_\_\_\_  
**Date**

\_\_\_\_\_  
**Business Name**

\_\_\_\_\_  
**License Number**

To Be Completed by Local Contracting Agency

Preference Category: ☐ Targeted Service Area ☐ Youthbuild ☐ Other - Census Tract Number: \_\_\_\_\_

**12. SECTION 3 SUMMARY REPORT**

**Contractor's SECTION 3 Economic Opportunity Report**

Name and Address <input type="checkbox"/> Contractor <input type="checkbox"/> Subcontractor:	Date Report Submitted	
	Contact Person:	Phone: (include Area Code)
	Federal EIN:	Dollar Amount of Contract:
	Project Number:	Project Name:

**Part I: Employment & Training Opportunities provided to low-income individuals** (Minimum Goal: 30% of New Hires)

JOB CLASSIFICATION	TOTAL NEW HIRES	LOW-INCOME NEW HIRES	% of Aggregate Hires Who are low-income
Technicians			%
Office/Clerical			%
Professionals			%
Construction Trade:			%
Construction Trade:			%
<b>TOTALS</b>			<b>%</b>

**Part II: Subcontracts Awarded** (Minimum Subcontract Goal is 25% of the Prime Contract Amount)

Name of Qualified Business Concern	Construction or Non-construction Contract	Amount
		\$
		\$
		\$
Total Dollar Amount of Subcontracts awarded to Section 3 qualified Business Concerns:		\$
Dollar Amount of All Subcontracts:		\$
Percentage of the total dollar amount awarded to qualified Business Concerns:		%

**Part III: Summary of the efforts that were made to generate economic opportunities**

☐ Trained and/or Employed \_\_\_\_\_ low-income individuals equal to \_\_\_\_\_ (%) of the aggregate new hires. (attach Resident Certificates)  
☐ Awarded Subcontracts to \_\_\_\_\_ qualified Business Concerns equal to \_\_\_\_\_ (%) of the contract amount. (attach Business Certificates)  
☐ Attempted to recruit low-income individuals through:  
     ☐ Advertisements through local media, television, radio, newspaper (attach copy of advertisement)  
     ☐ Signs prominently displayed at the project site (documented by ☐ Memo-to-File, ☐ Photographic, ☐ Inspector's Notes, ☐ Other - \_\_\_\_\_)  
     ☐ Contacts with community organizations  
☐ Contacted management to notify residents and posted or distributed flyers at public housing authority (attach list)  
☐ Participated in a program which promotes the training or employment of low-income individuals (attach supporting documentation)  
☐ Participated in a program which promotes the award of contracts to Section 3 Qualified Businesses (attach supporting documentation)  
☐ Contacted agencies administering HUD Youth-Build programs. (attach list)  
☐ Maintained a file of eligible, qualified low-income Residents and qualified Business Concerns for future employment opportunities.  
☐ OTHER: \_\_\_\_\_  
 \_\_\_\_\_ (attach supporting documentation)



12. SECTION 3 SUMMARY REPORT (Continued)
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## Section 3 Summary Report

### Economic Opportunities for Low- and Very Low-Income Persons

**U.S. Department of Housing  
and Urban Development  
Office of Fair Housing  
and Equal Opportunity**

OMB Approval No. 2529-0043  
(exp. 6/30/2004)

HUD Field Office:

See back of page for Public Reporting Burden statement

1. Recipient Name & Address: (street, city, state, zip)	2. Federal Identification: (contract/award no.)	3. Dollar Amount of Award:
	4. Contact Person:	5. Phone: (include area code)
	6. Reporting Period:	7. Date Report Submitted:

0. Program Code: *	(Use a separate sheet for each program code)	0. Program Name:
--------------------	--	------------------

## Part I: Employment and Training (\*\* Include New Hires in columns E &amp; F.)

A Job Category	B Number of New Hires	C Number of New Hires that are Sec. 3 Residents	D % of Aggregate Number of Staff Hours of New Hires that are Sec. 3 Residents	E** % of Total Staff Hours for Section 3 Employees and Trainees	F** Number of Section 3 Employees and Trainees
Professionals					
Technicians					
Office/Clerical					
Construction by Trade (List) Trade					
Trade					
Trade					
Trade					
Other (List)					
Total					

\* Program Codes

1 = Flexible Subsidy  
2 = Section 202/811

3 = Public/Indian Housing

A = Development,  
B = Operation  
C = Modernization

4 = Homeless Assistance

5 = HOME  
6 = HOME-State Administered  
7 = CDBG-Entitlement

8 = CDBG-State Administered

9 = Other CD Programs  
10 = Other Housing Programs

**12. SECTION 3 SUMMARY REPORT (Continued)**

**Part II: Contracts Awarded**

1. Construction Contracts:

A. Total dollar amount of all contracts awarded on the project	\$
B. Total dollar amount of contracts awarded to Section 3 businesses	\$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving contracts	

2. Non-Construction Contracts:

A. Total dollar amount of all non-construction contracts awarded on the project/activity	\$
B. Total dollar amount of non-construction contracts awarded to Section 3 businesses	\$
C. Percentage of the total dollar amount that was awarded to Section 3 businesses	%
D. Total number of Section 3 businesses receiving non-construction contracts	

**Part III: Summary**

Indicate the efforts made to direct the employment and other economic opportunities generated by HUD financial assistance for housing and community development programs, to the greatest extent feasible, toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. (Check all that apply.)

- ☐ Attempted to recruit low-income residents through: local advertising media, signs prominently displayed at the project site, contacts with community organizations and public or private agencies operating within the metropolitan area (or nonmetropolitan county) in which the Section 3 covered program or project is located, or similar methods.
- ☐ Participated in a HUD program or other program which promotes the training or employment of Section 3 residents.
- ☐ Participated in a HUD program or other program which promotes the award of contracts to business concerns which meet the definition of Section 3 business concerns.
- ☐ Coordinated with Youthbuild Programs administered in the metropolitan area in which the Section 3 covered project is located.
- ☐ Other; describe below.

Public reporting burden for this collection of information is estimated to average 2 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. This agency may not collect this information, and you are not required to complete this form, unless it displays a currently valid OMB control number.

Section 3 of the Housing and Urban Development Act of 1968, as amended, 12 U.S.C. 1701u., mandates that the Department ensure that employment and other economic opportunities generated by its housing and community development assistance programs are directed toward low- and very low-income persons, particularly those who are recipients of government assistance for housing. The regulations are found at 24 CFR Part 135. The information will be used by the Department to monitor program recipients' compliance with Section 3, to assess the results of the Department's efforts to meet the statutory objectives of Section 3, to prepare reports to Congress, and by recipients as a self-monitoring tool. The data is entered into a data base and will be analyzed and distributed. The collection of information involves recipients receiving Federal financial assistance for housing and community development programs covered by Section 3. The information will be collected annually to assist HUD in meeting its reporting requirements under Section 808(e)(6) of the Fair Housing Act and Section 916 of the HCDA of 1992. An assurance of confidentiality is not applicable to this form. The Privacy Act of 1974 and OMB Circular A-108 are not applicable. The reporting requirements do not contain sensitive questions. Data is cumulative; personal identifying information is not included.



## 12. SECTION 3 SUMMARY REPORT (Continued)

### Form HUD-60002, Section 3 Summary Report, Economic Opportunities for Low- and Very Low-Income Persons.

**Instructions:** This form is to be used to report annual accomplishments regarding employment and other economic opportunities provided to low- and very low-income persons under Section 3 of the Housing and Urban Development Act of 1968. The Section 3 regulations apply to any **public and Indian Housing programs** that receive: (1) development assistance pursuant to Section 5 of the U.S. Housing Act of 1937; (2) operating assistance pursuant to Section 9 of the U.S. Housing Act of 1937; or (3) modernization grants pursuant to Section 14 of the U.S. Housing Act of 1937 and to **recipients of housing and community development assistance in excess of \$200,000** expended for: (1) housing rehabilitation (including reduction and abatement of lead-based paint hazards); (2) housing construction; or (3) other public construction projects; and to **contracts and subcontracts in excess of \$100,000** awarded in connection with the Section-3-covered activity.

Form HUD-60002 has three parts which are to be completed for all programs covered by Section 3. Part I relates to **employment and training**. The recipient has the option to determine numerical employment/training goals either on the basis of the number of hours worked by new hires (columns B, D, E and F) or the number of new hires utilized on the Section 3 covered project (columns B, C and F). Part II of the form relates to **contracting**, and Part III summarizes recipients' **efforts** to comply with Section 3.

Recipients or contractors subject to Section 3 requirements must maintain appropriate documentation to establish that HUD financial assistance for housing and community development programs were directed toward low- and very low income persons.\* A recipient of Section 3 covered assistance shall submit two copies of this report to the local HUD Field Office. Where the program providing assistance requires an annual performance report, this Section 3 report is to be submitted at the same time the program performance report is submitted. Where an annual performance report is not required, this Section 3 report is to be submitted by January 10 and, if the project ends before December 31, within 10 days of project completion. **Only Prime Recipients are required to report to HUD. The report must include accomplishments of all recipients and their Section 3 covered contractors and subcontractors.**

HUD Field Office: Enter the Field Office name forwarding the Section 3 report.

1. Recipient: Enter the name and address of the recipient submitting this report.
2. Federal Identification: Enter the number that appears on the award form (with dashes). The award may be a grant, cooperative agreement or contract.
3. Dollar Amount of Award: Enter the dollar amount, rounded to the nearest dollar, received by the recipient.
- 4 & 5. Contact Person/Phone: Enter the name and telephone number of the person with knowledge of the award and the recipient's implementation of Section 3.
6. Reporting Period: Indicate the time period (months and year) this report covers.
7. Date Report Submitted: Enter the appropriate date.

Submit two (2) copies of this report to the HUD Field Office of Fair Housing and Equal Opportunity, Program Operations and Compliance Center Director, at the same time the performance report is submitted to the program office. For those programs where such a report is not required, the Section 3 report is submitted by January 10. Include only contracts executed during the reporting period specified in item 8. PHAs/HAs are to report all contracts/subcontracts.

\* The terms "low-income persons" and "very low-income persons" have the same meanings given the terms in section 3(b)(2) of the United States Housing Act of 1937. **Low-income persons** mean families (including single persons) whose incomes do not exceed 80 per centum of the median income for the area, as determined by the Secretary, with adjustments for

8. Program Code: Enter the appropriate program code as listed at the bottom of the page.

9. Program Name: Enter the name of the HUD Program corresponding with the "Program Code" in number 8.

#### Part I: Employment and Training Opportunities

**Column A:** Contains various job categories. Professionals are defined as people who have special knowledge of an occupation (i.e., supervisors, architects, surveyors, planners, and computer programmers). For construction positions, list each trade and provide data in columns B through F for each trade where persons were employed. The category of "Other" includes occupations such as service workers.

**Column B:** Enter the number of new hires for each category of workers identified in **Column A** in connection with this award. New Hire refers to a person who is not on the contractor's or recipient's payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

**Column C:** Enter the number of Section 3 new hires for each category of workers identified in **Column A** in connection with this award. Section 3 new hire refers to a Section 3 resident who is not on the contractor's or recipient's payroll for employment at the time of selection for the Section 3 covered award or at the time of receipt of Section 3 covered assistance.

**Column D:** Enter the percentage of all the staff hours of new hires (Section 3 residents) in connection with this award.

**Column E:** Enter the percentage of the total staff hours worked for Section 3 employees and trainees (including new hires) connected with this award. Include staff hours for part-time and full-time positions.

**Column F:** Enter the number of Section 3 residents that were employed and trained in connection with this award.

#### Part II: Contract Opportunities

##### Block 1: Construction Contracts

Item A: Enter the total dollar amount of all contracts awarded on the project/program.

Item B: Enter the total dollar amount of contracts connected with this project/program that were awarded to Section 3 businesses.

Item C: Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

Item D: Enter the number of Section 3 businesses receiving awards.

##### Block 2: Non-Construction Contracts

Item A: Enter the total dollar amount of all contracts awarded on the project/program.

Item B: Enter the total dollar amount of contracts connected with this project awarded to Section 3 businesses.

Item C: Enter the percentage of the total dollar amount of contracts connected with this project/program awarded to Section 3 businesses.

Item D: Enter the number of Section 3 businesses receiving awards.

#### Part III: Summary of Efforts - Self-explanatory

smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 80 per centum of the median for the area on the basis of the Secretary's findings such that variations are necessary because of prevailing levels of construction costs or unusually high- or low-income families. **Very low-income persons** mean low-income families (including single persons) whose incomes do not exceed 50 per centum of the median family income for the area, as determined by the Secretary with adjustments for smaller and larger families, except that the Secretary may establish income ceilings higher or lower than 50 per centum of the median for the area on the basis of the Secretary's findings that such variations are necessary because of unusually high or low family incomes.



**13. FEDERAL LOBBYIST CERTIFICATION**

**FEDERAL LOBBYIST CERTIFICATION**

Name of Firm: \_\_\_\_\_

Address: \_\_\_\_\_

State: \_\_\_\_\_ Zip Code: \_\_\_\_\_ Telephone Number: (       ) \_\_\_\_\_

Acting on behalf of the above named firm, as its Authorized Official, I make the following Certification to the U. S. Department of Housing and Urban Development and the Community Development Commission, County of Los Angeles.

- 1) No Federal appropriated funds have been paid by or on behalf of the above named firm to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of and Federal grant, loan or cooperative agreement, and any extension, continuation, renewal, amendment, or modification thereof, and;
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant loan, or cooperative agreement, the above named firm shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying", in accordance with its instructions, and;
- 3) The above name firm shall require that the language of this certification be included in the award documents for all sub-awards at all tiers (including subcontracts, sub-grants, and contracts under grants, loans, and cooperative agreement) and that all sub-recipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into the transaction imposed by Section 1352 Title 31, U. S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Authorized Official:

\_\_\_\_\_  
(Contractor/Subcontractor)

By: \_\_\_\_\_  
(Signature)

\_\_\_\_\_  
(Date)

\_\_\_\_\_  
(Title)